



EXPRESS MAIL LABEL NO.: EV218960701US

PATENT APPLICATION  
Docket No: 13676.152

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Phillips, et al.

Serial No.:

09/489,250

Confirmation No.:

5610

Filed:

January 21, 2000

For:

OPTICALLY VARIABLE SECURITY DEVICES

Examiner:

Audrey Y. Chang

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) Art Unit  
) 2872

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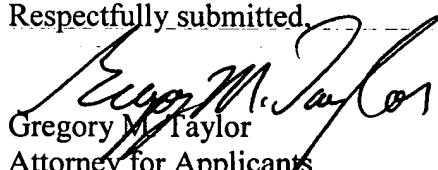
**CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. § 1.10**

"Express Mail" Mailing Label No.: EV218960701US

I hereby certify that the following documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 in an envelope addressed to: Box: DD, Commissioner for Patents, Washington, DC 20231, on this 3/5<sup>th</sup> day of January, 2003:

- Transmittal Letter for Supplemental Information Disclosure Statement (2 pgs.)
- Supplemental Information Disclosure Statement (2 pgs.)
- Form PTO- 1449 Listing all References (3 pgs.)
- Legible Copy of twenty-four (24) Cited Reference
- Postcard

Respectfully submitted,

  
Gregory M. Taylor  
Attorney for Applicants  
Registration No. 34,263



**022913**

PATENT TRADEMARK OFFICE

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### TRANSMITTAL FOR SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Box: DD  
Commissioner for Patents  
Washington, DC 20231

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is a Supplemental Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

A. Additional Materials Required Due to Content of Supplemental Information Disclosure Statement

Transmitted are the following documents in addition to the Supplemental Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

- X Form PTO-1449 listing twenty-four (24) references submitted for consideration.
- X Copies of twenty-four (24) of the references listed on the Form PTO-1449.

**B. Additional Materials Required Due to Timing of Filing of Supplemental Information Disclosure Statement**

The transmitted Supplemental Information Disclosure Statement is being filed within the following time period:

- X Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action after filing an RCE. Accordingly, no materials other than those listed above are enclosed.

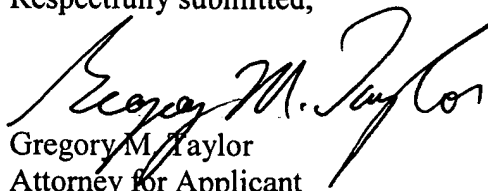
**C. Fees**

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

- X Any fee required in relation to filing of this letter or any documents transmitted therewith.

Dated this 31<sup>st</sup> day of January 2003.

Respectfully submitted,

  
Gregory M. Taylor  
Attorney for Applicant  
Registration No. 34,263



**022913**

PATENT TRADEMARK OFFICE

GMT:hb

Enclosures

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Serial Number: 09/489,250



EXPRESS MAIL LABEL NO.: EV218960701US

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Inventor application of:

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Examiner:

Audrey Y. Chang

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) 2872  
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Box: DD  
Commissioner for Patents  
Washington, DC 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which

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the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

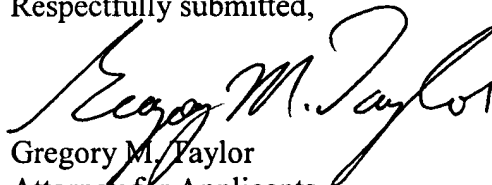
In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each non-English reference, if any, are also enclosed.

Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 31<sup>st</sup> day of January, 2003.

Respectfully submitted,



Gregory M. Taylor  
Attorney for Applicants  
Registration No. 34,263

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Applicant: Phillips, et al.  
Serial No.: 09/489,250  
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For: OPTICALLY VARIABLE SECURITY DEVICES

Att'y Docket No.: 13676.152

Group: 2872



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### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Phillips, et al.

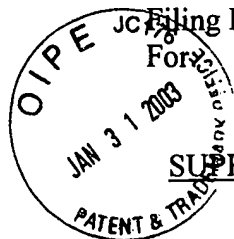
Serial No.: 09/489,250

Att'y Docket No.: 13676.152

Filing Date: January 21, 2000

Group: 2872

OPTICALLY VARIABLE SECURITY DEVICES

SUPPLEMENTAL INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
___ 1	4,756,771	07/12/88	Broda et al.
___ 2	4,779,898	10/25/88	Berning et al.
___ 3	5,002,312	03/26/91	Phillips et al.
___ 4	5,171,363	12/15/92	Phillips et al.
___ 5	5,364,467	11/15/94	Schmid et al.
___ 6	5,591,527	01/07/97	Lu
___ 7	5,648,165	07/15/97	Phillips et al.
___ 8	5,650,248	07/22/97	Miekka et al.
___ 9	5,763,086	06/09/98	Schmid et al.
___ 10	5,858,078	01/12/99	Andes et al.
___ 11	5,912,767	06/15/99	Lee
___ 12	5,989,626	11/23/99	Coombs et al.
___ 13	6,013,370	01/11/00	Coulter et al.
___ 14	6,045,230	04/04/00	Dreyer et al.
___ 15	6,068,691	05/30/00	Miekka et al.
___ 16	6,112,388	09/05/00	Kimoto et al.

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Applicant: Phillips, et al.

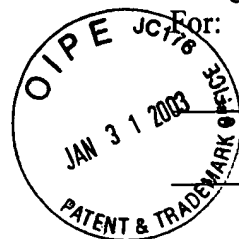
Serial No.: 09/489,250

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Group: 2872

For: OPTICALLY VARIABLE SECURITY DEVICES



17	6,168,100	01/02/01	Kato et al.
18	6,241,858 B1	06/05/01	Phillips et al.
19	6,242,510 B1	06/05/01	Killey
20	6,243,204 B1	06/05/01	Bradley, Jr. et al.

Foreign Patent Documents

Examiner Initial*	Document Number	Publication Date	Country or Patent Office
21	WO 00/08596	02/17/00	PCT

Other Documents

(including author, title, pertinent pages, etc.)

Examiner  
Initial\*

22	John M. McKiernan, et al., " <i>Luminescence and Laser Action of Coumarin Dyes Doped in Silicate and Aluminosilicate Glasses Prepared by the Sol-Gel Technique</i> ", Journal of Inorganic and Organometallic Polymers, Vol. 1, No. 1, 1991, pages 87-103.
23	Jeffrey I. Zink, et al., " <i>Optical Probes and Properties of Aluminosilicate Glasses Prepared By The Sol-Gel-Method</i> ", Polym. Mater. Sci. Eng., pages 204-208 (1989).
24	Don W. Tomkins, Kurz Hastings, " <i>Transparent Overlays for Security Printing and Plastic ID Cards</i> ," Caribe Royale, Orlando, Florida, 19-21 November 1997, pages 1-8.

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